

COMMUNITY CARE LICENSING DIVISION

*"Promoting Healthy, Safe and
Supportive Community Care"*

TECHNICAL SUPPORT PROGRAM

Self-Assessment Guide GROUP HOME ADMINISTRATIVE ASSESSMENT



CDSS

CALIFORNIA
DEPARTMENT OF
SOCIAL SERVICES

**TECHNICAL SUPPORT PROGRAM
GROUP HOME
ADMINISTRATIVE ASSESSMENT**

The administrative assessment tool is designed to assist licensees and facility staff to perform periodic self-assessments of a facility's operation. The assessment is comprised of some of the most common deficiencies noted by Licensing Program Analysts during their evaluation visits. It is not an exhaustive list or a full summary of regulations relating to the operation of facilities. ***It cannot be used as a substitute for having a good working knowledge of the regulations.***

These items summarize regulations and other conditions which commonly lead to citations. For that reason, licensees should refer to the referenced regulation(s) for complete information on requirements. Items contained in this tool which have an asterisk (*) are not required by licensing regulation. They are, however, recommended practices that can assist licensees to avoid situations which may lead to violations.

The assessment should be used periodically to review the facility's performance in a variety of areas to identify and correct deficiencies and to identify areas of weakness in the facility's operation and staff training needs. It can also be used as a training tool to familiarize staff with basic licensing requirements. Facilities may wish to add items to the form which have historically been problem areas for their operations or to implement program standards that exceed Licensing requirements.

MEDICATIONS

MET NOT MET

- | | | | |
|--------------------------|--------------------------|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | All centrally stored medications (including over-the-counter medicines and medications requiring refrigeration) are stored in a safe and locked place. 80075 (n)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Medications are labeled and maintained in compliance with label instructions. (Room temperature, refrigerated, etc.) 80075(n)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | There are no expired medications (including over-the-counter medicines). 80075(o) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | There are no medications for former clients in the facility. 80075(o) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | There are no permanently discontinued medications in the facility. 80075(o) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Each prescription medication has been logged in a centrally stored medication record. 80075(n)(7) |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Destroyed prescription medications are logged in a centrally stored medication destruction record. 80075(o) |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. | Children are assisted with medications according to label/physician instructions. 80075(a)(2) |

MEDICATIONS
(Continued)

MET **NOT MET**

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|--------------------------|--------------------------|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 9. | Documentation is on file that the physician is aware of all over-the-counter medications the child is taking. 80070(b)(10) |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. | Each child's file contains documentation from the child's physician that the child can determine and communicate his/her need for <u>prescription and nonprescription</u> PRN medication and the physician has provided written instructions for its use. 80075(b)(e) |

OR

For nonprescription PRN medication only, each child's file contains documentation from the child's physician that the child cannot determine his/her need but can clearly communicate his/her symptoms and the physician has provided written instructions for its use. 80075(c)(e)

OR

For prescription and nonprescription PRN medication, when the child is unable to determine his/her own need for the medication and is unable to clearly communicate his/her symptoms, facility staff must contact the child's physician before each dose is given and receive instructions. 80075(d)(e)

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|--------------------------|--------------------------|-------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 11. | Syringes and needles are immediately discarded into appropriate containers (i.e., a container for sharps), and the container is kept locked and inaccessible to the children. 80088(f) |
| <input type="checkbox"/> | <input type="checkbox"/> | 12. | Medication labels are not altered. 80075(n)(4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 13. | Medications are stored in their original container and not transferred between containers. 80075(n)(5)(6) |
| <input type="checkbox"/> | <input type="checkbox"/> | 14. * | Documentation is on file indicating the physician and the authorized representative has been contacted when children refuse medications. |
| <input type="checkbox"/> | <input type="checkbox"/> | 15. * | There are enough medications left in each bottle to order a refill before the current supply runs out. |

PHYSICAL PLANT

MET NOT MET

- | | | |
|--------------------------|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Walls and ceilings are clean and in good repair. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Paint/wallpaper is in good condition. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Windows and curtains/blinds are in good condition and operate properly. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Floors and floor coverings are clean and in good repair. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. Doors are in good condition and operate properly. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. Equipment and supplies are not stored in the yard or areas used by children. 80087(e)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. Smoke detectors operate properly and fire extinguishers are properly charged. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. Furniture and fixtures are in good repair. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. Disinfectants, cleaning solutions and other hazardous items are inaccessible to the children. Locking is recommended to ensure inaccessibility. 80087(h) |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. Firearm(s), poisons and other dangerous weapons are locked. Trigger locks or removing firing pins are acceptable for firearm(s). The ammunition must be stored and locked separately from the firearm(s). 80087(h)(1-3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. Handrails are securely fastened. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 12. Buildings and grounds are free from hazards. (e.g., broken glass, exposed electrical wiring, protruding nails, etc.) 80087(a)(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 13. Passageways, stairways and doors are not blocked or obstructed. 80087(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 14. Rooms are clean, safe, sanitary and free of odors. 80087(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 15. Room temperature is a minimum of 68 degrees and a maximum of 85 degrees. (In extreme heat, maximum temperature is 30 degrees less than outside.) 80088(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 16. Signal system, if required, operates properly. 84088(d)(e) |
| <input type="checkbox"/> | <input type="checkbox"/> | 17. Pools and other bodies of water are made inaccessible through fencing at least 5 feet high and self-closing, self-latching gates or covers that can support the weight of an adult. 80087(f) |

PHYSICAL PLANT

(Continued)

MET NOT MET

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|--------------------------|--------------------------|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 18. | Facility is free of flies and other insects. 80087 (a)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 19. | Window screens are in good repair. 80088(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 20. | Fireplaces and open-faced heaters are inaccessible to children. 80088(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 21. | Children's bedrooms with security bars on the windows or doors have at least one window/door in the bedroom with an approved safety release device to allow emergency evacuation. H & S Code 1531.4 |

CLIENT ROOMS

MET NOT MET

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|--------------------------|--------------------------|------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Sheets, pillowcases, mattress pads, blankets, bedspreads, bath towels and washcloths are clean and in good repair. 84088(c)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Mattresses, boxsprings and pillow(s) are in good repair. Fillings and covers for both the mattress and pillow(s) are flame retardant. 84088(c)(1)(B) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | There is adequate dresser and closet space for children's clothing and belongings. A minimum of two drawers or eight cubic feet of drawer space is provided for each child. 84088(c)(4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. * | Clothes in dressers and closets are clean. |

BATHROOMS

MET NOT MET

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|--------------------------|--------------------------|----|------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Hot water is 105 - 120 degrees Fahrenheit. 80088(e)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Sinks, tubs, toilets and showers are clean and operate properly. 80088(e)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Towels and wash cloths are not shared. 84088(c)(2)(B) |

SUPPLIES

MET NOT MET

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|--------------------------|--------------------------|----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Equipment and supplies for personal hygiene are available for children in sufficient amounts. 84088(c)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | There is a sufficient supply of linens available to permit changing weekly or more often as needed to ensure use of clean linens at all times by children. 84088(c)(2)(A) |

FOOD SERVICE

MET NOT MET

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|--------------------------|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Food storage and preparation areas (pantrys, cupboards, freezers, stoves, microwaves, refrigerators, and counters) are clean and sanitary. 80076(a)(13)(17) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. There are no pesticides or toxics (ant spray, rodent poison) stored in any food storage or preparation room or with utensils. 80076(a)(15), 80087(j) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Cleaning supplies are kept in areas separate from food supplies. 80076(a)(16) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Contaminated or spoiled food is discarded. 80076(a)(18) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. Food supplies are kept covered and inaccessible to pests. 80076(a)(14)(18) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. Frozen foods are properly wrapped or stored in an appropriate container. 80076(a)(1)(18) |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. Trash can has tight fitting cover. 80088(f)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. Freezer is 0 degrees Fahrenheit. 84076(c)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. Refrigerator is 45 degrees Fahrenheit. 80076(a)(14), 84076(c)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. Written menus are posted weekly in an area accessible to staff and children. 84076(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. Menu is prepared one week in advance. Copies of menus as served are dated and kept on file for at least 30 days. 80076(a)(5) |
| <input type="checkbox"/> | <input type="checkbox"/> | 12. Two-day supply of perishables and seven-day supply of non-perishables are available in the facility. 84076(c)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 13. Snacks and beverages are available in the facility. 80076(a)(4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 14. Dishes, glasses and utensils are clean and in good condition (no cracks or chips). 80076(a)(19) |
| <input type="checkbox"/> | <input type="checkbox"/> | 15. Modified diets are provided as needed. 80076(a)(6) |
| <input type="checkbox"/> | <input type="checkbox"/> | 16. Powdered milk is not used as a beverage. 80076(a)(9) |
| <input type="checkbox"/> | <input type="checkbox"/> | 17. All food are selected, stored, prepared and served in a safe and healthful manner. (e.g., frozen food should be thawed in the refrigerator or under cold running water and not at room temperature.) 80076(a)(1)(7)(13) |
| <input type="checkbox"/> | <input type="checkbox"/> | 18. * Food supplies are dated and rotated to use old items first. |
| <input type="checkbox"/> | <input type="checkbox"/> | 19. * Food to prepare items on the menu is available. |

PERSONAL PROPERTY

MET NOT MET

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|--------------------------|--------------------------|----|------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Children's cash records are current. 80026(h) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Children's cash records balance with cash being safeguarded. 80026(h) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Surety bond (LIC 402) is sufficient for amount of cash handled. 80025(b)(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Fines levied are recorded and explained in the child's file, including the amount of the fine and the reason for the fine. 84026(c)(1-4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Personal property list is updated with additions and deletions. 80026(h) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Loans to children are documented. 80026(e)(1)(A) |

CLIENT OBSERVATION

MET NOT MET

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|--------------------------|--------------------------|----|--------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Staff are familiar with the information in the children's needs and services plans. 80065(a), 84065(c) |
|--------------------------|--------------------------|----|--------------------------------------------------------------------------------------------------------|

CLIENT RECORDS

MET NOT MET

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|--------------------------|--------------------------|------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Children's records are not accessible to unauthorized persons. 80070(c)(1)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Children's records are separate, complete and current; and contain the required records and information for each child. 80070(a)(b), 84070(a)-(d)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Information in children's files is updated as needed. 80070(a)(e) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Needs and services plans are updated with placement agency involvement every six (6) months or as often as needed. 84068.3(a)(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. * | Copies of any exceptions for children are on file. |

STAFF RECORDS

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Employee files contain all required records and information and are available to the licensing agency for review. 80066(a-e), 84066(a)-(b)(6) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Items that expire (first aid, water safety certificate, driver's license) are updated. 80075(l), 80065(e)(2), 80074(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Fingerprints (including FBI) and child abuse index checks are submitted prior to employment, residence or initial presence in the facility for all adults 18 years of age or older. 80019(d), 80019.2(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Staff training is properly documented. 84065(h-k), 84065(d)(3), 80065(e)(2), 80065(f), 80075(l), 84803(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. * | Exceptions/exemptions are maintained in file. |

ADMINISTRATION

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | License is posted in a prominent, publicly accessible location in the facility. 84009(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | The facility has a current disaster and mass casualty plan of action. (Emergency Disaster Plan LIC 610) 80023(a)(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Disaster drills are conducted at least every six (6) months and records of drills are maintained at the facility for at least one year. 80023(d)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Current client roster (LIC 9020) is available to licensing staff. 80071(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Each board member has signed the Board of Director Statement (LIC 9165). A copy of the signed LIC 9165 is submitted to the Department. 84018(c), 84063(b)-(c)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Board of directors conducts quarterly meetings and maintains written minutes. 84063(a)(8-10) |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Substantiated complaints are sent to board members. H&S 1538.5(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. | All licensing reports are accessible to placement officials, current and prospective facility clients and their family members, and maintained at the facility for 3 years. H&S 1538.5(a)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. | Administrator has a current and valid administrator certificate. 84064.2, 84064.3 |

ADMINISTRATION
(continued)

MET **NOT MET**

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|--------------------------|--------------------------|------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 10. Personnel Record (LIC 500) is current and a copy has been sent to the local licensing office. 80022(a)(b)(5) |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. * Emergency exiting plan and emergency phone numbers are posted. |
| <input type="checkbox"/> | <input type="checkbox"/> | 12. * Waivers are maintained on file. |

INCIDENT REPORTING

MET **NOT MET**

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|--------------------------|--------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Reportable incidents/deaths are reported by telephone to Licensing by the next working day. 80061(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Written incident/death reports (LIC 624/624a) are sent to Licensing within seven (7) days. 80061(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Incidents are reported to the children's authorized representative. 80061(e), 84061(b-d) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Incident reports include an analysis of other reportable incidents involving the same child in the preceding six (6) months. 84061 (h)(3)(A) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. * All administrative and care staff are trained in the requirements of incident reporting. |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. * Administrator has reviewed incident reports and taken any corrective action necessary. |

ACTIVITIES

MET **NOT MET**

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|--------------------------|--------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Current activity calendar is posted if licensed capacity is 13 or more. 84079(d) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Supplies are available for activities. 84088(g) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Activities available include: socialization, activities which maintain daily living skills, leisure time activities, physical activities and educational activities. 84079(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Voluntary attendance at religious activities is available to children. 84079(c)(1), 80072(a)(5) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. Resident council meetings are made available upon request of children. 84080(a)(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. * Activities are provided as scheduled on an activity calendar. |

MISCELLANEOUS

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Vehicles used to transport children are maintained in safe operating condition. 80074(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Non-fingerprint cleared persons (friends, family, volunteers, neighbors) are not used as staff and do not provide direct client care and supervision. 80019(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. The facility is equipped with first aid supplies (sterile first aid dressings, bandages, adhesive tapes, scissors, tweezers, thermometer, antiseptic solution) and a current first aid manual. 80075(j)(1)(A-H) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Basic laundry service is provided including washing, drying and ironing. 84077(a)(1) |